

A

NEW UNITED STATES UTILITY PATENT APPLICATION
under 37 C.F.R. 1.53(b)

Atty. Docket No. 04776.81656

Page 1

10/05/99
Jc675 U.S. PTO

CERTIFICATE OF EXPRESS MAILING UNDER 37 C.F.R. § 1.10: The undersigned hereby certifies that this United States Patent Application and all papers noted herein as being attached, are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" Service under 37 C.F.R. § 1.10 today, **October 5, 1999**, and is addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231.

Express Mail Label No.: EM461382600US

Jc675 U.S. PTO
09/412202
10/05/99

Assistant Commissioner for Patents
Box Patent Applications
Washington, D.C. 20231

Enclosed herewith is a new patent application and the following papers:

First Named Inventor (or application identifier): Ira A. Gerson

Title of Invention: METHOD AND APPARATUS FOR PROCESSING AN INPUT SPEECH SIGNAL DURING PRESENTATION OF AN OUTPUT AUDIO SIGNAL

1. ☒ Specification 41 pages (including specification, claims, abstract) / 55 claims (10 independent)
2. ☒ Declaration/Power of Attorney is:
 - ☒ attached in the regular manner.
 - ☐ NOT included, but deferred under 37 C.F.R. § 1.53(f).
3. ☒ 6 Distinct sheets of ☐ Formal ☒ Informal Drawings
4. ☐ Preliminary Amendment.
5. ☐ Information Disclosure Statement
 - ☐ Form 1449
 - ☐ A copy of each cited prior art reference
6. ☒ Assignment with Cover Sheet.
7. ☐ Priority is hereby claimed under 35 U.S.C. § 119 based upon the following application(s):

Country	Application Number	Date of Filing (day, month, year)

NEW UNITED STATES UTILITY PATENT APPLICATION
under 37 C.F.R. 1.53(b)

Page 2

Atty. Docket No. 04776.81656

8. ☐ Priority document(s).
9. ☒ Statement Claiming Small Entity Status.
10. ☐ Microfiche Computer Program (Appendix).
11. ☐ Nucleotide and/or Amino Acid Sequence Submission.
☐ Computer Readable Copy.
☐ Paper Copy (identical to computer copy).
☐ Statement verifying identity of above copies.

12. Calculation of Fees:

FEES FOR	EXCESS CLAIMS	FEE	AMOUNT DUE
Basic Filing Fee (37 C.F.R. § 1.16(a))			
			\$760.00
Total Claims in Excess of 20 (37 C.F.R. § 1.16(c))	35	18.00	\$630.00
Independent Claims in Excess of 3 (37 C.F.R. § 1.16(b))	7	78.00	\$546.00
Multiple Dependent Claims (37 C.F.R. § 1.16(d))	0	260.00	\$0.00
Subtotal - Filing Fee Due			\$1,936.00
MULTIPLY BY			
Reduction by 50%, if Small Entity (37 C.F.R. §§ 1.9, 1.27, 1.28)	0.5		\$968.00
TOTAL FILING FEE DUE			\$968.00
Assignment Recordation Fee (if applicable) (37 C.F.R. § 1.21(h))	1	40.00	\$40.00
GRAND TOTAL DUE			\$1,008.00

13. PAYMENT is:

- ☒ included in the amount of the GRAND TOTAL by our enclosed check. A general authorization under 37 C.F.R. § 1.25(b), second sentence, is hereby given to credit or debit our Deposit Account No. 01-0850 for the instant filing and for any other fees during the pendency of this application under 37 C.F.R. §§ 1.16, 1.17 and 1.18.
- ☐ not included, but deferred under 37 C.F.R. § 1.53(f).

NEW UNITED STATES UTILITY PATENT APPLICATION
under 37 C.F.R. 1.53(b)

Page 3

Atty. Docket No. 04776.81656

14. All correspondence for the attached application should be directed to:

Banner & Witcoff, Ltd.
Ten South Wacker Drive, Suite 3000
Chicago, IL 60606-7407
Telephone: (312) 715-1000
Facsimile: (312) 715-1234

15. Other: _____

Date: October 5, 1999

By: Christopher P. Moreno
Christopher P. Moreno
Reg. No. 38,566

CPM:dal

CERTIFICATE OF MAILING

(PATENT)

Express Mail No. EM461382600

Deposited October 5, 1999

I hereby certify that the attached correspondence, identified below, is being deposited with the United States Postal Service as "Express Mail Post Office to Addressee" under 37 CFR 1.10 on the date indicated above and is addressed to the Assistant Commissioner for Patents, Box Patent Applications, Washington, DC 20231.

By: 

Design Patent Application of:

Inventor: **Ira A. Gerson**

Attorney Docket No.: 04776.81656

Title: **METHOD AND APPARATUS FOR PROCESSING AN INPUT SPEECH SIGNAL DURING PRESENTATION OF AN OUTPUT AUDIO SIGNAL**

- ☒ New U.S. Utility Patent Application Under 37 CFR 1.53(b) Transmittal
- ☒ Specification (41 Pages including specification, 55 claims and abstract)
- ☒ Executed Declaration and Power of Attorney - 2 pages
- ☒ Drawings - Informal - 6 pages
- ☒ Assignment with Cover Sheet - 2 pages
- ☒ Statement Claiming Small Entity Status - 2 pages
- ☒ Filing Fee Check - \$1008.00
- ☒ Return Receipt Postcard

B & W Case No.: 99,305

BANNER & WITCOFF, LTD.
10 South Wacker Drive
Chicago, Illinois 60606
(312) 715-1000

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

(Attorney Docket No. 04776.81656)

Applicant or

Patentee:

Ira A. Gerson

Serial or

Patent No.

Filed or

Issued:

Title:

METHOD AND APPARATUS FOR PROCESSING AN INPUT SPEECH

SIGNAL DURING PRESENTATION OF AN OUTPUT AUDIO SIGNAL

**VERIFIED STATEMENT CLAIMING SMALL ENTITY STATUS
(37 C.F.R. § 1.9(f) AND § 1.27(c)) - SMALL BUSINESS CONCERN**

I hereby declare that I am

- ☐ the owner of the small business concern identified below:
☒ an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF CONCERN

Auvo Technologies, Inc.

ADDRESS OF CONCERN

87 Omni Drive

Schaumburg, Illinois 60193

I hereby declare that the above-identified small business concern qualifies as a small business concern as defined in 13 C.F.R. §121.12, and reproduced in 37 C.F.R. § 1.9(d), for purposes of paying reduced fees to the United States Patent and Trademark Office, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time, or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention, entitled METHOD AND APPARATUS FOR PROCESSING AN INPUT SPEECH SIGNAL DURING PRESENTATION OF AN OUTPUT AUDIO SIGNAL

by inventor(s) Ira A. Gerson

described in

- ☒ the specification filed herewith
☐ Application Serial No. _____ filed _____
☐ Patent No. _____, issued _____

If the rights held by the above identified small business concern are not exclusive, each individual concern or organization having rights in the invention must file verified statements averring to their status as small entities, and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR § 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR § 1.9(d), or a nonprofit organization under 37 CFR § 1.9(e).

Each person, concern or organization having any rights to the invention is listed below:

- ☒ No such person, concern or organization exists.
☐ Each such person, concern or organization is listed below.

FULL NAME _____

ADDRESS _____

☐ Individual ☐ Small Business Concern ☐ Nonprofit Organization

FULL NAME _____

ADDRESS _____

☐ Individual ☐ Small Business Concern ☐ Nonprofit Organization

Separate verified statements are required from each named person, concern or organization having rights in the invention averring to their status as small entities. (37 CFR § 1.27).

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 C.F.R. § 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing therein, or any patent to which this verified statement is directed.

Ira A. Gerson

NAME OF PERSON SIGNING

President

TITLE IN ORGANIZATION

Auvo Technologies, Inc., 87 Omni Drive, Schaumburg, Illinois 60193

ADDRESS OF PERSON SIGNING



Signature

October 4, 1999

Date